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Introduction

In accordance with the City Auditor’s 2002-2003 Audit Workplan, we have audited the Airport Neighborhood Services Group. We conducted this audit in accordance with generally accepted government auditing standards and limited our work to those areas specified in the Scope and Methodology section of this report.

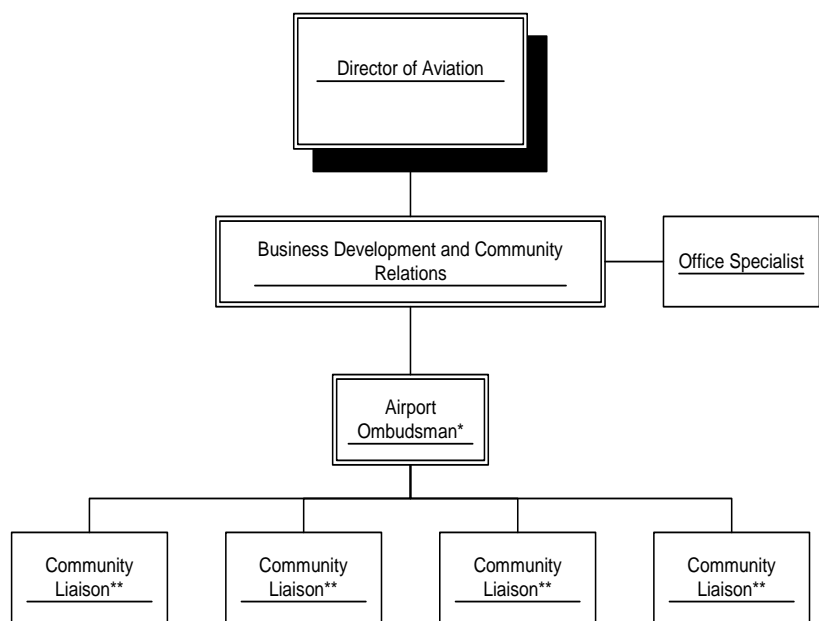
The City Auditor’s Office thanks the Airport Neighborhood Services Group staff and the City Attorney’s Office for giving their time, information, insight, and cooperation during the audit process.

Background	<p>During the May 11, 2001 Operating Budget Study Session, City Council requested that City staff recommend the addition of an Airport Ombudsman/Community Advocate position to oversee community airport issues. The Airport Department, in conjunction with the City Manager’s Office; the Parks, Recreation, and Neighborhood Services Department; the Housing Department; and the Call Center, responded by proposing the new Airport Neighborhood Services Group (ANSG). In the proposal the ANSG would monitor Airport activities, strengthen neighborhood relations, and fulfill the Airport’s Investing in Results commitment to becoming a good neighbor within the community. On June 8, 2001, the City Council authorized the establishment of the ANSG and approved the proposed responsibilities and duties as outlined in the Replacement Manager’s Budget Addendum #18 (RMBA #18). The ANSG’s primary purpose is to develop and enhance new neighborhood partnerships as well as enhance airport responsiveness to neighborhood concerns. Incorporated within the ANSG is an alliance with the current Strong Neighborhood Initiative (SNI) teams, neighborhood association leaders, representatives from the Housing Department, the Customer Service Call Center, and the City Manager’s Office.</p> <p>The City established the ANSG to be proactively involved with the community by listening, informing, soliciting input, and participating in neighborhood committees and activities. The ANSG is also responsible for facilitating and enhancing communications between the Airport Department and the neighborhoods, and for assisting Acoustical Treatment (ACT) Program staff. The ANSG also helps organize Airport informational meetings for the Airport Noise Advisory</p>
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Committee (ANAC) and Curfew Monitoring Committee. In addition, the ANSG participates in education-related activities for schools and youth programs, such as career exploration days. Finally, the ANSG is responsible for working closely with the Airport Department’s media advisory team. The budget for the ANSG is derived from the Airport’s Operational Fund. The ANSG’s proposed budget for 2002-03 is \$535,268, of which \$364,336 is for Personal Services and \$170,932 is for non-personal services.

Organizational Structure	According to the RMBA #18, the ANSG is directed to report to the Airport Aviation Director. The ANSG is currently under the Business Development and Community Relations Division as shown below in Exhibit 1. The ANSG is comprised of the Ombudsman as Manager, four Community Liaisons and an Office Specialist.
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Exhibit 1 Organizational Chart



*Actual Job Title is Marketing & Public Outreach Manager
**Actual Job Title is Marketing & Public Outreach Representative
Source: Norman Y. Mineta San Jose International Airport Organizational Chart

According to the RMBA #18, the Airport Ombudsman is responsible for addressing or monitoring the following issues:

- Working with airlines to change schedules so departures and arrivals have minimal impact on the curfew;

- Working with airlines to encourage their use of aircraft that produce the least amount of noise;
- Working with the industry representatives and government agencies to support legislation encouraging the adoption of aircraft into airline fleets;
- Monitoring reports of noise and pollution infractions;
- Monitoring the Airport's Master Plan development relating to the Environmental Impact Report;
- Auditing responses to constituent calls regarding Airport issues; and
- Working with the Federal Aviation Administration (FAA) to evaluate impacts of flight patterns.

Of the four community liaisons, three are assigned to cover specific districts, ACT neighborhoods, Business Associations, and Master Plan topics. Their specific responsibilities within these districts include:

- Working directly with the surrounding neighborhoods that Airport-related activities impacted the most;
- Working closely with SNI neighborhood teams to include Airport issues within the SNI action plans;
- Working with SNI implementation teams; and
- Working with organizations to solicit ideas for mitigating the potential impacts of Airport activities on their neighborhoods.

The fourth community liaison is specifically assigned to cover concerns related to the noise monitoring section and ACT program for all City Districts and Neighborhoods.

Audit Scope and Methodology

The objective of our audit was to evaluate the effectiveness of the ANSG in meeting its goal of being an advocate for residents in local neighborhoods and representing the airport through good public outreach and customer service. More specifically we identified and determined: (1) the extent and kinds of work the ANSG is currently doing; (2) how accurately the ANSG is reporting the work it is doing; and (3) the ANSG's internal documentation and procedures to help them meet their objectives more efficiently. Our audit scope included a review of all ANSG activities from July 2001 to October 2002, including the Director of Aviation's Bi-Monthly Report to the

City Manager, Community Relations Report to the Airport Commission, and the Monthly update reports to the Education, Neighborhoods, Youth & Seniors Committee (ENYS). We also interviewed the ANSG staff and compared the ANSG calendar of events to the actual responsibilities outlined in the (RMBA #18). In addition, we compared the ANSG responsibilities the Mayor and various Councilmembers identified in two memoranda, dated June 25, 2001 and November 13, 2001, to actual ANSG responsibilities. With respect to the responsibilities in these memoranda we identified the responsible City entity and determined the current status for each request.

Major Accomplishments Related To This Program	In Appendix E, the Director of Aviation informs us of the major accomplishments of the Airport Neighborhood Services Group.
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Finding I

The Airport Neighborhood Services Group Can Improve Upon Its Compliance With City Council-Approved Responsibilities

On June 8, 2001, the City Council authorized the establishment of the Airport Neighborhood Services Group (ANSG) and approved the proposed responsibilities and duties of the ANSG as outlined in the Replacement Manager's Budget Addendum #18 (RMBA #18). The ANSG was established to serve as an advocate for residents and attempt to reduce the impact of the Airport on local neighborhoods through public outreach and customer service. In addition to the community interaction, the ANSG is charged with developing strong working partnerships with various Airport Divisions and representing community interests at various department and committee meetings. Based on our review and comparison of the RMBA #18 and the activities of the ANSG through June 2001 and October 2002, we found that:

- The ANSG is fulfilling seven of the thirteen responsibilities outlined in RMBA #18 while five other City entities are accountable for the remaining six responsibilities;
- The ANSG does not communicate its outreach activities to the City Council in a comprehensive and consistent manner; and
- Additional responsibilities identified in two City Council memoranda dated June 25, 2001 and November 13, 2001 are outside the scope of the ANSG authority.

As a result, the ANSG can improve upon its compliance with City Council-approved responsibilities and its reporting on its activities to the City Council. In our opinion, the ANSG should (1) collaborate with various City entities and Airport Divisions to ensure that all RMBA #18 responsibilities are fulfilled; (2) increase its interaction with the various entities that are responsible for fulfilling the duties outlined in the June 25, 2001 and November 13, 2001 City Council memoranda; (3) implement the use of a standardized complaint form to monitor constituent complaints and concerns; and (4) develop a standardized format for reporting all of its areas of

responsibility to the City Council on a regular basis. By so doing, the City Council will have added assurance that the ANSG and other City entities are fulfilling their assigned responsibilities.

The ANSG Is Fulfilling Seven Of The Thirteen City Council-Approved RMBA #18 Responsibilities While Five Other City Entities Are Accountable For The Remaining Six Responsibilities	We found that the ANSG is not fulfilling all of the City Council-approved RMBA #18 responsibilities. Specifically, on June 8, 2001 the Airport’s Director of Aviation, in conjunction with the Director of Parks, Recreation, and Neighborhood Services, and the Acting Director of Housing, informed the City Council, in RMBA #18, that the ANSG would assume thirteen responsibilities. Based on our review, we found that the ANSG is fulfilling seven of the thirteen RMBA #18-identified responsibilities while five other City entities are actually accountable for the other six responsibilities. The following matrix summarizes the thirteen RMBA #18 responsibilities and the City entity that is accountable for each responsibility.
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Exhibit 2 Matrix Of RMBA #18-Identified ANSG Responsibilities And The City Entities That Are Actually Responsible For These Responsibilities

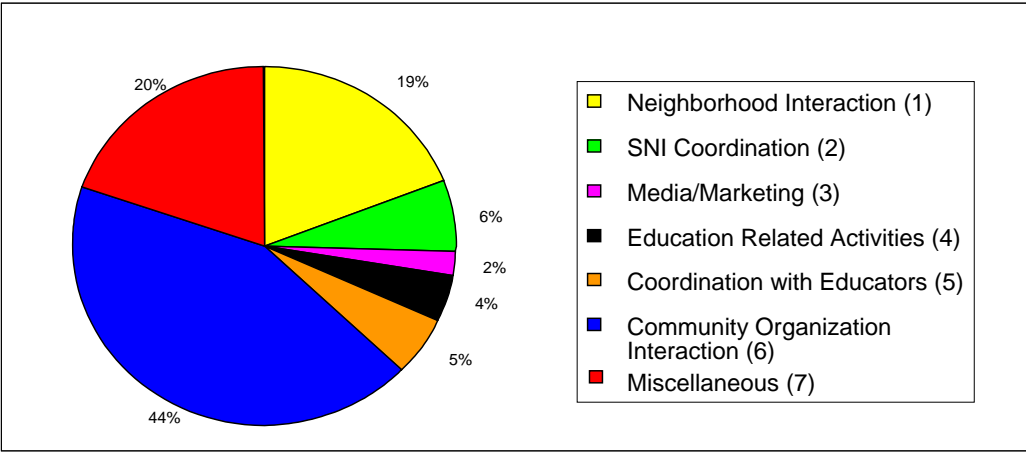
	CITY ENTITY ACTUALLY RESPONSIBLE					
RMBA #18-Identified ANSG Responsibilities	ANSG	Airport Environmental Services Division	Airport Operations Division	City Attorney's Office	City Manager's Office	Airport Public Works Division
1. Auditing responses to constituent calls regarding Airport issues.	X					
2. Working with surrounding neighborhoods that are most impacted by Airport-related activities.	X					
3. Working closely with SNI neighborhoods and implementation teams to include Airport issues within SNI action plans.	X					

	CITY ENTITY ACTUALLY RESPONSIBLE					
RMBA #18- Identified ANSG Responsibilities	ANSG	Airport Environmental Services Division	Airport Operations Division	City Attorney's Office	City Manager's Office	Airport Public Works Division
4. Working with the FAA to evaluate the impact of flight patterns.		X	X			
5. Working with airlines to change schedules so departures and arrivals have minimal impact on the curfew.			X	X		
6. Working with airlines to encourage their use of aircraft that produce the least amount of noise.			X	X		
7. Monitoring reports of noise and pollution infractions.		X	X			
8. Working with industry representatives and government agencies to support legislation encouraging the adoption of quieter aircraft into airline fleets.					X	
9. Working with organizations to identify potential impacts of Airport activities and to solicit ideas for mitigating those impacts within their neighborhoods.	X					
10. Working with the Airport's media advisory team to alert residents of ways to participate in neighborhood meetings and events.	X					

	CITY ENTITY ACTUALLY RESPONSIBLE					
RMBA #18- Identified ANSG Responsibilities	ANSG	Airport Environmental Services Division	Airport Operations Division	City Attorney's Office	City Manager's Office	Airport Public Works Division
11. Monitoring the Airport's Master Plan development relating to the Environmental Impact Plan.		X		X		X
12. Participating in education-related activities such as career exploration days.	X					
13. Working with educators to create opportunities for children to learn about environmental programs and activities.	X					

With respect to the ANSG responsibilities shown above, the ANSG is actively participating in community events and meetings such as neighborhood association meetings and making presentations to various community organizations, such as the Elks Club, Rotary Club, and Chamber of Commerce. The ANSG is also actively participating in coordinating their efforts with various City programs such as the ACT program and the Curfew Monitoring Committee. In addition, the ANSG has taken an active role in sponsoring Job Shadow Days and working with educators to incorporate lessons into their curriculum that pertain to the impact of the Airport on the environment. Exhibit 3 summarizes ANSG activity from June 2001 to October 2002.

Exhibit 3 Summary Of ANSG Activities From June 2001 To October 2002



- (1) Community Meetings with, and presentations to, residents and Neighborhood Associations regarding Airport issues such as noise monitoring, ACT, or the Noise Exposure Update Map.
- (2) Coordination, planning, and community meetings with SNI team.
- (3) TV, radio broadcast, press conferences, and downtown retail marketing meetings.
- (4) Job Shadow Days.
- (5) Meetings with School Educators and TransAccess.
- (6) Meetings with, and presentations to, community organizations such as Elks Club, Rotary, Hyatt Hotel, and Chamber of Commerce. Also includes community resource fairs, ground breaking ceremonies, and community festivals.
- (7) Planning Meetings, Councilmember briefings, meetings with Senate Representatives, training classes, and District tours.

In addition to the above-mentioned activities, the Airport Ombudsman reported, in a January 24, 2002 and a May 8, 2002 ENYS Update Report, that the ANSG responded to 4 and over 70, respectively, customer inquiries and concerns. These are the only Update reports from the Airport Ombudsman that specified the number of customer inquiries and concerns to which the ANSG responded.

**The ANSG Does
Not Communicate
Its Outreach
Activities To The
City Council In A
Comprehensive
And Consistent
Manner**

The ANSG does not adequately document its outreach activities. As a result, the ANSG is not reporting its monthly outreach activities to the ENYS Committee in a comprehensive or consistent manner. For example, the ANSG responds to constituent complaints and concerns that it receives directly or through City Councilmember Offices. However, the ANSG did not consistently document, record, or report to the ENYS Committee these constituent complaints and concerns or their ultimate resolution. In addition, the ANSG did not consistently record how it resolved, or how long it took it to resolve, the constituent complaints it receives. In our opinion, the ANSG needs to document, monitor, and report on constituent complaints in a consistent manner. Such documentation should include a description of the complaint, how the ANSG resolved the complaint, and the length of time it took the ANSG to resolve the complaint. The ANSG should also develop a standardized complaint form, (similar to the one in Appendix B), to record complaints when they are received and facilitate subsequent entry into a computer database. This will allow the ANSG to track complaints and generate management information regarding the type and number of complaints received, the resolution of the complaints, and the length of time it takes to resolve the complaints. By consistently documenting, monitoring, and reporting such information, the City Administration and the City Council will have added assurance that the ANSG is responding to constituent complaints in a timely and efficient manner.

In addition, the ANSG can improve its reporting to the City Council¹ by preparing a standard report format that includes information on all of the RMBA #18 areas of responsibility, including the additional responsibilities identified in the June 25, 2001 and November 13, 2001 City Council memoranda. We found that the ANSG's monthly reports to the ENYS Committee did not consistently include information on each RMBA #18 responsibility. Furthermore, we found that the ANSG did not include in its monthly reports to the ENYS Committee comprehensive information regarding the number of community events attended, the number of participants at these events, and the number of constituent complaints received regarding noise and pollution infractions. A standardized constituent complaint form, in addition to other internal

¹ According to the Director of the Airport Department, beginning on January 24, 2003, the ANSG will report directly to the City Council instead of a City Council Committee.

documentation, would aid the ANSG in the reporting of such comprehensive information. In our opinion, the ANSG should develop a standard report format, (similar to the one in Appendix C), which includes comprehensive information on all of the RMBA #18 areas of responsibility.

We recommend that the ANSG:

Recommendation #1

Develop a standardized constituent complaint form to document the nature of the complaint, how the issue was resolved, any follow-up action taken, and how long it took to resolve the complaint. (Priority 3)

Recommendation #2

Develop a standardized report format which includes comprehensive information on all of the RMBA #18 areas of responsibility. (Priority 3)

As we noted above, the ANSG does not accept accountability for six of the thirteen RMBA #18 responsibilities shown in Exhibit 2. Our review of the ANSG’s calendar of events from June 2001 to October 2002 and the reports it issued to the ENYS Committee, revealed that the ANSG has had limited involvement in the remaining six areas of responsibility shown in Exhibit 2. However, these responsibilities are directly related to the ANSG’s goal of representing the needs of the community with respect to Airport-related issues. Accordingly, in our opinion, the ANSG needs to collaborate with, and actively monitor and report on the efforts of the other City entities that are actually accountable for the remaining six RMBA #18-identified responsibilities. By doing so, the City Council will have added assurance that the ANSG and other City entities are fulfilling the RMBA #18-identified responsibilities.

We recommend that the ANSG:

Recommendation #3

Collaborate with, monitor, and report on the efforts of the other City entities that are responsible for Replacement Manager’s Budget Addendum #18-identified responsibilities. (Priority 3)

Additional Council Requested Duties Are The Responsibility Of Other City Entities	<p>In addition to the RMBA #18 responsibilities, the City Council requested additional information in two memoranda dated June 25, 2001 and November 13, 2001. On June 25, 2001 Mayor Gonzales and Councilmembers Yeager and Chavez wrote a memorandum regarding Airport responsibilities. Similarly, in a November 13, 2001 memorandum, Mayor Gonzales and Councilmembers Yeager, Chavez, Cortese, and LeZotte requested that various City entities assume additional responsibilities related to the Airport. The additional responsibilities outlined in these two memoranda are specifically directed to other City entities besides the ANSG. For a complete summary of each additional memorandum request, the responsible City entity, and the current status of each responsibility, see Appendix D.</p> <p>While the City Council did not assign the responsibilities identified in the two memoranda to the ANSG, many of the memoranda-identified responsibilities relate to the Airport’s impact on surrounding neighborhoods. Therefore, in our opinion, the ANSG should collaborate with the identified City entities and actively monitor and report on their progress and efforts regarding their respective areas of responsibility. Such collaboration would allow the ANSG to better educate neighborhoods on the issues that impact them the most and bring new neighborhood concerns to the attention of the appropriate City entities. In addition, by so doing, the City Council can have added assurance that the needs of the community are being addressed.</p>
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We recommend that the ANSG:

Recommendation #4

Collaborate with the identified City entities in the City Council's June 25, 2001 and November 13, 2001 memoranda and monitor and report on their progress and efforts regarding their respective areas of responsibility. (Priority 3)

CONCLUSION

The ANSG has been active in participating in community events, meetings, and program coordination. However, the ANSG needs to increase its interaction with various City entities as well as enhance its internal documentation and reporting. Specifically, the ANSG should collaborate with, and actively monitor the efforts of, other City entities to ensure that all RMBA #18 responsibilities are being fulfilled. Furthermore, the ANSG should develop a standardized constituent complaint form and report format to aid in tracking, recording, and reporting on all constituent complaints and concerns received. To aid the ANSG in the completion of these recommendations, we have developed a pro forma report which the ANSG can use in preparing reports to City Council. These pro forma reports will facilitate the ANSG to consistently and accurately report on all of the areas of responsibility outlined in the RMBA #18 and the City Council memoranda dated June 25, 2001 and November 13, 2001.

RECOMMENDATIONS

We recommend that the ANSG:

Recommendation #1

Develop a standardized constituent complaint form to document the nature of the complaint, how the issue was resolved, any follow-up action taken, and how long it took to resolve the complaint. (Priority 3)

Recommendation #2

Develop a standardized report format which includes comprehensive information on all of the RMBA #18 areas of responsibility. (Priority 3)

- Recommendation #3**

Collaborate with, monitor, and report on the efforts of the other City entities that are responsible for Replacement Manager’s Budget Addendum #18-identified responsibilities. (Priority 3)
- Recommendation #4**

Collaborate with the identified City entities in the City Council’s June 25, 2001 and November 13, 2001 memoranda and monitor and report on their progress and efforts regarding their respective areas of responsibility. (Priority 3)

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